

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
(MODIFIED) PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.  
053168-5005

SERIAL NO.  
Not yet known

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT  
(Use several sheets if necessary)

APPLICANT  
Shrenik Deliwala

FILING DATE  
May 17, 2001

GROUP  
Not yet known

(37 C.F.R. § 1.98(b))

### U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
C.P.	A	6	1	7	7	6	8	5	01/01	Teraguchi et al.			
C.P.	B	6	1	8	8	8	1	8	02/01	Han et al.			
C.P.	C	6	1	6	6	8	4	6	12/00	Maloney			
C.P.	D	6	0	7	5	9	0	8	06/00	Paniccia et al.			
C.P.	E	6	1	2	2	4	1	9	09/00	Kurokawa			
C.P.	F	5	8	6	4	6	4	2	01/99	Chun et al.			
C.P.	G	5	8	7	2	3	6	0	02/99	Paniccia et al.			
C.P.	H	5	8	3	5	6	4	6	11/98	Yishimura et al.			
C.P.	I	5	6	9	6	8	6	2	12/97	Hauer et al.			
C.P.	J	4	6	7	7	7	8	3	07/87	Cratsa			
C.P.	K	5	6	3	8	4	6	9	06/97	Feldman et al.			

### FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

		DOCUMENT NUMBER							PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
													YES	NO

### OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

C.P.	L	Michael C. Parker et al., Applications of Active Arrayed-Waveguide Gratings in Dynamic WDM Networking and Routing, Journal of Lightwave Technology, Vol. 18, No. 12, December 2000.
C.P.	M	Bardia Pezeshki et al., Vertical Cavity Devices as Wavelength Selective Waveguides, Journal of Lightwave Technology, Vol. 12, No. 10, October 1994.
C.P.	N	Lucent Technologies, Bell Labs Innovations, Arrayed Waveguide Grating Multiplexer/Demultiplexer, January 2000.
C.P.	O	Robert Shi and Tomasz Jansson, Optical Interconnection Foundations and Applications, Chapter 5, Integrated Optical Waveguide Routing - Micro-optics, Artech House, pp. 141-225.
C.P.	P	Amalia N. Miliou et al., A 1.3 $\mu$ m Directional Coupler Polarization Splitter by Ion Exchange, Journal of Lightwave Technology, Vol. 11, No. 2, February 1993.
C.P.	Q	Gijs J. M. Krijnen et al., A New Method for the Calculation of Propagation constants and Field Profiles of Guided Modes of Nonlinear Channel Waveguides Based on the Effective Index Method, Journal of Lightwave Technology, Vol. 12, No. 9, September 1994.

EXAMINER

DATE CONSIDERED

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	APPLICANT Shrenik Deliwala	
	FILING DATE	GROUP Not yet known


### U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>C.P.</i>	R	5	6	2	9	8	3	8	05/97	Knight et al.			
<i>C.P.</i>	S	5	6	2	5	7	2	9	04/97	Brown			
<i>C.P.</i>	T	5	6	2	5	6	3	6	04/97	Bryan et al.			
<i>C.P.</i>	U	5	6	0	5	8	5	6	02/97	Goosen et al.			
<i>C.P.</i>	V	5	5	6	8	5	7	4	10/96	Tanguay, Jr. et al.			
<i>C.P.</i>	W	5	5	0	2	7	7	9	03/96	Magel			
<i>C.P.</i>	X	5	4	8	5	0	2	1	01/96	Abe			
<i>C.P.</i>	Y	5	4	3	4	4	3	4	07/95	Kasahara et al.			
<i>C.P.</i>	Z	5	4	3	2	6	3	0	07/95	Lebby et al.			
<i>C.P.</i>	AA	5	4	0	0	4	1	9	03/95	Heinen			
<i>C.P.</i>	BB	5	1	9	8	6	8	4	03/93	Sudo			

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C.P.	CC	5	1	5	9	7	0	0	10/92	Reid, deceased et al.			
O.P.	DD	5	1	5	3	7	7	0	10/92	Harris		1/K	al. ed.
C.P.	EE	5	0	6	1	0	2	7	10/91	Richard			
C.P.	FF	4	9	6	6	4	3	0	10/90	Weidel			
C.P.	GG	4	9	3	9	7	9	3	07/90	Stewart			
C.P.	HH	4	9	1	7	4	5	0	04/90	Pocholle			
C.P.	II	4	8	7	1	2	2	4	10/89	Karstensen			
C.P.	JJ	4	8	6	5	4	2	7	09/89	Kingston et al.			
C.P.	KK	4	7	6	1	6	2	0	08/88	Bar-Joseph et al.			
C.P.	LL	4	7	5	8	0	9	2	07/88	Heinrich et al.			
C.P.	MM	4	6	9	5	1	2	0	09/87	Holder			

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C.P.	NN	4	4	2	2	0	8	8		12/83	Gfeller			

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PTO/SB/08A (10-01)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	09/859 647
		Filing Date	05/17/2001
		First Named Inventor	Delgado
		Art Unit	2678
		Examiner Name	Not yet known
Sheet 1 of 1	Attorney Docket Number	053168-5005	

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. 1	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
C.P.A.		US-5,880,491	03-09-1999	Soref et al.	
C.P.B.		US-4,728,167	03-01-1988	Soref et al.	
C.P.C.		US-4,261,638	04-14-1981	Wagner	
C.P.D.		US-5,875,271	02-23-1999	Laughlin	
C.P.E.		US-4,857,973	08-15-1989	Yang et al.	
C.P.F.		US-5,841,716	11-24-1998	Laughlin	
C.P.G.		US-6,133,930	10-24-2000	Laughlin	
C.P.H.		US-5,682,455	10-28-1997	Kovacic et al.	
C.P.I.		US-6,163,632	12-19-2000	Rilkman et al.	
C.P.J.		US-5,444,567	08-22-1995	Kataoka	
C.P.K.		US-5,652,681	07-29-1997	Chen et al.	
C.P.L.		US-6,282,357B1	08-28-2001	Kadota et al.	
C.P.M.		US-6,259,841B1	07-10-2001	Bagavathula	
C.P.N.		US-6,118,911	09-12-2000	Bennett et al.	
C.P.O.		US-6,049,639	04-11-2000	Paniccia et al.	
		US-			
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS					
Examiner Initials	Cite No. 1	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
C.P.P.		WO-99/09514 - A1	02-25-1999	Advanced Precision	
C.P.Q.		WO-00/49451 - A1	08-24-2000	Bookham Tech.	
C.P.R.		WO-99/60433 - A1	11-25-1999	Bookham Tech.	
C.P.S.		WO-99/34485 - A1	07-08-1999	Bookham Tech.	
C.P.T.		WO-01/50166 - A1	07-12-2001	Bookham Tech.	
C.P.U.		WO-01/67172 - A1	09-13-2001	Bookham Tech.	

Examiner Signature	Date Considered
	9/12/04

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08A (10-01)


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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Complete If Known</b>	
Application Number		09/859,647	
Filing Date		05-17-2001	
First Named Inventor		S. Deliwala	
Art Unit		2870	
Examiner Name		Not Yet Known	
Attorney Docket Number		053168-5005	

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Examiner Signature		Date Considered	9/13/04
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Substitute for form 1449A/PTO

*(use as many sheets as necessary)*

Sheet / of

Application Number	09/859,647
Filing Date	May 17, 2001
First Named Inventor	S. Deliwala
Art Unit	2878
Examiner Name	Not yet Known
Attorney Docket Number	853168-5005

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9/13/04

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Substitute for form 1449A/PTO

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Sheet / of /

**Complete if Known**

Application Number	09/059,647
Filing Date	May 17, 2001
First Named Inventor	S. Deliwala
Art Unit	2878
Examiner Name	Not yet known
Attorney Docket Number	053168-5005

## U.S. PATENT DOCUMENTS

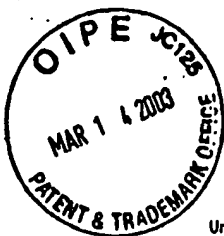
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		Filing Date	May 17, 2001		
		First Named Inventor	S. Delina In		
		Art Unit	2870		
		Examiner Name	Not yet known		
Sheet	1	of	2	Attorney Docket Number	053160-5005

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>2</sup>	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>3</sup> (if known)			
C.P.	A	US-4,904,039	A	02-27-1990	Secret	
C.P.	B	US-5,355,237	A	10-11-1994	Lang et al.	
C.P.	C	US-5,559,912	A	09-24-1996	Agahi et al.	
C.P.	D	US-5,838,870	A	11-17-1998	Secret	
C.P.	E	US-5,844,822	A	12-01-1998	Yoshida	
C.P.	F	US-6,108,472		08-22-2000	Rickman et al.	
C.P.	G	US-6,222,951	B1	04-24-2001	Huang	
C.P.	H	US-2002/0048422	A1	04-25-2002	Cotteverte et al.	
C.P.	I	US-5,140,651	A	08-28-1992	Secret et al.	
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		Country Code <sup>3</sup>	Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
	J	JP	2000-304956	11-02-2000	OKI Electric Ind Ltd		
	K	JP	61-11708	01-20-1986	Nippon Telegraph and Telephone Corp		

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